

<b>TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371</b>		ATTORNEY'S DOCKET NUMBER 12810-00231-US U.S. APPLICATION NO. (if known, see 37 CFR 1.5) <b>10/573639</b>
INTERNATIONAL APPLICATION NO. PCT/EP2004/010911	INTERNATIONAL FILING DATE 30 September 2004	PRIORITY DATE CLAIMED 2 October 2003
TITLE OF INVENTION: A PROCESS FOR SEQUENCE SATURATION MUTAGENESIS (SESAM)		
APPLICANT(S) FOR DO/EO/US: Ulrich Schwaneberg		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a submission under 35 U.S.C. 371. 2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a submission under 35 U.S.C. 371. 3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below. 4. <input checked="" type="checkbox"/> The US has been elected (Article 31). 5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371 (c)(2)) a. <input checked="" type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> has been communicated by the International Bureau. c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US). 6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). a. <input type="checkbox"/> is attached hereto. b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4). 7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> have been communicated by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input type="checkbox"/> have not been made and will not be made. 8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). 9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). 10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)). Items 11 to 20 below concern document(s) or information included: 11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. 12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. 13. <input checked="" type="checkbox"/> A preliminary amendment. 14. <input checked="" type="checkbox"/> An Application Data Sheet under 37 CFR 1.76. 15. <input type="checkbox"/> A substitute specification. 16. <input checked="" type="checkbox"/> A power of attorney and/or change of address letter. 17. <input checked="" type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 – 1.825. 18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4). 19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).		

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

U.S. APPLICATION NO. (if known, see 37 CFR 1.5) <b>1501573639</b>		INTERNATIONAL APPLICATION NO. <b>PCT/EP2004/010911</b>		ATTORNEY'S DOCKET NUMBER <b>12810-00231-US</b>	
20. <input type="checkbox"/> Other items or information: <b>Statement To Support Filing And Submission In Accordance With 37 CFR §§1.821 Through 1.825, Nucleotide and/or Amino Acid Sequence Submission on Disk and Paper, Postcard, Certificate of Express Mail</b>					
The following fees have been submitted				CALCULATIONS	PTO USE ONLY
21. <input checked="" type="checkbox"/> Basic national fee (37 CFR 1.492(a))..... \$300				\$ 300.00	
22. <input checked="" type="checkbox"/> Examination fee (37 CFR 1.492(c)) If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)..... \$0 All other situations ..... \$200				\$ 200.00	
23. <input checked="" type="checkbox"/> Search fee (37 CFR 1.492(b)) If the written opinion of the ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4) ..... \$0 Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority..... \$100 International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB ..... \$400 All other situations ..... \$500				\$ 400.00	
<b>TOTAL OF 21, 22 and 23 =</b>				<b>\$ 900.00</b>	
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing in an electronic medium) (37 CFR 1.492(j)). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.					
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole number)	RATE		
19 - 100 =	/50 =		x \$250.00	\$	
Surcharge of \$130 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h)).				\$	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	15 - 20 =		x	0.00	
Independent claims	1 - 3 =		x	0.00	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+		
<b>TOTAL OF ABOVE CALCULATIONS =</b>				<b>\$ 900.00</b>	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2.					
<b>SUBTOTAL =</b>				<b>\$ 900.00</b>	
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).				\$	
<b>TOTAL NATIONAL FEE =</b>				<b>\$ 900.00</b>	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +				\$	
				\$	
<b>TOTAL FEES ENCLOSED =</b>				<b>\$ 900.00</b>	
				Amount to be refunded:	\$
				Amount to be charged	\$

10/573639

IAP2010-01-01 28. 2006  
PTO-1390 (Rev. 07-2005)Approved for use through 03/31/2007. OMB 0651-0021  
U. S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

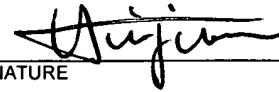
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- a. ☐ A check in the amount of \$ \_\_\_\_\_ to cover the above fees is enclosed.
- b. ☒ Please charge my Deposit Account No. 03-2775 in the amount of \$ 900.00 to cover the above fees.  
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit  
Account No. 03-2775. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information  
should not be included on this form.** Provide credit card information and authorization on PTO-2038

**NOTE:** Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be  
filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:

SIGNATURE



NAME

Hui-Ju Wu

CUSTOMER NUMBER: 23416

57,209  
REGISTRATION NUMBER

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<p>Under the Paperwork Reduction Act of 1995, no person are required to respond to a collection of information unless it displays a valid OMB control number.</p> <p>Effective on 12/08/2004. Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).</p> <p><b>FEE TRANSMITTAL</b> <b>For FY 2005</b></p>		<p><b>Complete if Known</b></p> <p>Application Number: 12810-00231-633</p> <p>Filing Date: Concurrently Herewith</p> <p>First Named Inventor: Ulrich Schwaneberg</p> <p>Examiner Name: Not Yet Assigned</p> <p>Art Unit: N/A</p> <p>Attorney Docket No.: 12810-00231-US</p>	
<p><input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27</p>			
<p><b>TOTAL AMOUNT OF PAYMENT</b></p>		<p><b>(\$)</b> 900.00</p>	

**METHOD OF PAYMENT** (check all that apply)

☐ Check
 ☐ Credit Card
 ☐ Money Order
 ☐ None
 ☐ Other (please identify): \_\_\_\_\_

☒ Deposit Account
 Deposit Account Number: 03-2775
 Deposit Account Name: Connolly Bove Lodge & Hutz LLP

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

☒ Charge fee(s) indicated below
 ☐ Charge fee(s) indicated below, **except for the filing fee**

☒ Charge any additional fee(s) or underpayment of fee(s) under 37 CFR 1.16 and 1.17
 ☒ Credit any overpayments

FEE CALCULATION							
1. BASIC FILING, SEARCH, AND EXAMINATION FEES							
Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		Fees Paid (\$)
	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	
Utility	300	150	500	250	200	100	900.00
Design	200	100	100	50	130	65	
Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	

2. EXCESS CLAIM FEES		
Fee Description	Fee (\$)	Small Entity Fee (\$)
Each claim over 20 (including Reissues)	50	25
Each independent claim over 3 (including Reissues)	200	100
Multiple dependent claims	360	180

Total Claims	Extra Claims	Fee (\$)	Fee Paid (\$)	Multiple Dependent Claims
15	- 20 =	x	=	Fee (\$)
				Fee Paid (\$)


Indep. Claims	Extra Claims	Fee (\$)	Fee Paid (\$)
1	- 3 =	x	=

3. APPLICATION SIZE FEE				
If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listings under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).				
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof	Fee (\$)	Fee Paid (\$)
19	- 100 =	/50 (round up to a whole number) x	=	

4. OTHER FEE(S)		Fees Paid (\$)
Non-English Specification, \$130 fee (no small entity discount)		
Other (e.g., late filing surcharge):	1631 Basic National Stage fee	300.00
	1633 National Stage Examination Fee - all other ...	200.00
	1642 National Stage Search Fee - search report ...	400.00

<b>SUBMITTED BY</b>			
Signature		Registration No. (Attorney/Agent)	57,209 Telephone (302) 658-9141
Name (Print/Type)	Hui-Ju Wu	Date	March 28, 2001

10/573639  
IAP20 RECEIVED 23 MAR 2006

Docket No.: 12810-00231-US  
(PATENT)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of:  
Ulrich Schwaneberg

Application No.: National Phase of  
PCT/EP2004/010911

Confirmation No.: N/A

Filed: Concurrently Herewith

Art Unit: N/A

For: A PROCESS FOR SEQUENCE  
SATURATION MUTAGENESIS (SESAM)

Examiner: Not Yet Assigned

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**STATEMENT TO SUPPORT FILING AND SUBMISSION  
IN ACCORDANCE WITH 37 CFR §§1.821 THROUGH 1.825**

- ☒ 37 C.F.R. §1.821(f) - I hereby state that the information recorded in computer readable form is identical to the written (on paper or compact disc) Sequence Listing submitted herewith.
- ☐ 37 C.F.R. §1.52(e)(4) - I hereby state that the two compact discs are identical.
- ☐ 37 C.F.R. 1.821(g) - I hereby state that the submission, filed in accordance with 37 C.F.R. 1.821(g), herein does not include new matter.
- ☐ 37 C.F.R. §1.821(h) - I hereby state that the submission, filed in accordance with 37 C.F.R. §1.821(h), herein does not include new matter or go beyond the disclosure in the international application.
- ☒ 37 C.F.R. §1.825(a) - I hereby state that the amendments, made in accordance with 37 C.F.R. §1.825(a), included in the substitute sheet(s) or compact disc(s) of the Sequence Listing are supported in the application, as filed, at pages 5-7. I hereby state that the substitute sheet(s) of the Sequence Listing does (do) not include new matter.
- ☐ 37 C.F.R. §1.825(b) - I hereby state that the substitute copy of the computer readable form, submitted in accordance with 37 C.F.R. §1.825(b), is the same as the amended Sequence Listing.

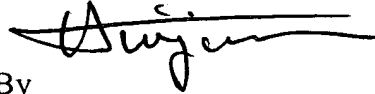
139/57363/2006

Application No.: National Phase of PCT/EP2004/010911

Docket No.: 12810-00231-US

☐ **37 C.F.R. §1.825(d)** - I hereby state that the substitute copy of the computer readable form, submitted in accordance with **37 C.F.R. §1.825(d)**, is identical to that originally filed.

Respectfully submitted,



By \_\_\_\_\_  
Hui-Ju Wu

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454945

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Application No. (if known): Not Yet Assigned

Attorney Docket No.: 12810-00231-US

## Certificate of Express Mailing Under 37 CFR 1.10

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Signature

Deborah Israel

Typed or printed name of person signing Certificate

Registration Number, if applicable

(302) 658-9141  
Telephone Number

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Transmittal Letter to the United States Designated-Elected Office  
Fee Transmittal  
Application Data Sheet  
Copy of the International application in English with search report attached  
Executed Combined Declaration and Power of Attorney  
Statement To Support Filing And Submission In Accordance With 37 CFR  
§§1.821 Through 1.825  
Nucleotide and/or Amino Acid Sequence Submission (Disk & Paper Copy)  
Preliminary Amendment  
Information Disclosure Statement, SB08, with references (9 References)  
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